



State of California

# Employment Training Panel

Arnold Schwarzenegger, Governor

October 9, 2008

Mr. Kathy Kossick, Executive Director  
Sacramento Employment and Training Agency  
925 Del Paso Boulevard  
Sacramento, CA 95815

Dear Ms. Kossick :

**RE: FINAL MONITORING VISIT REPORT for SETA – ET07-0155**

<b>Date of the Visit:</b>	June 24, 2008
<b>Beginning/Ending Time:</b>	9:30 am – 1:00 pm
<b>Date of Last Visit:</b>	March 16, 2007
<b>Visit Location:</b>	Sacramento
<b>Persons in attendance:</b>	Gisela Weissman, Employment Services, Supervisor of Sacramento; and Kristie Ohta, Program Analyst, from the Employment Training Panel
<b>Action Required:</b>	<b>NO</b>

<b>Term of Agreement:</b>	September 25, 2006 September 24, 2008	<b>Agreement Amount:</b>	\$1,837,460
<b>Date Training must be Completed:</b>	June 24, 2008	<b>No. to Retain:</b>	820
<b>Type of Trainee:</b>	Retrainee	<b>Range of Hours:</b>	24 - 200

## **FINAL REPORT SUMMARY:**

SACRAMENTO CENTRAL OFFICE  
1100 J Street, 4<sup>th</sup> Floor  
SACRAMENTO, CA 95814  
(916) 327-5640

N. HOLLYWOOD REGIONAL OFFICE  
4640 Lankershim Blvd., Suite 311  
NORTH HOLLYWOOD, CA 91602  
(818) 755-1313

S.F. BAY AREA REGIONAL OFFICE  
1065 East Hillsdale Blvd, Suite 415  
FOSTER CITY, CA 94404  
(650) 655-6930

SAN DIEGO REGIONAL OFFICE  
5353 Mission Center Road, Suite 110  
SAN DIEGO, CA 92108  
(619) 686-1920

- **HISTORY OF AGREEMENT CHANGES**

The Agreement was executed on October 25, 2006. Your staff reported that all training was completed on June 24, 2008, which allows for the 90-day retention period to be completed within the term ending date of the Agreement – September 23, 2008.

ETP approved one Agreement Amendment on December 14, 2007, which added Phase II Job Numbers 5 - 7, and increased the number to retain by 300 trainees. The agreement amount was also increased by \$769,900, from \$1,067,560 to \$1,837,460.

- **INTERVIEW WITH THE Gisela Weissman, Employment Services Supervisor**
- What barriers, if any, did your company experience in implementing your ETP project?  
**We had no barriers in implementing the ETP project. We experienced prompt and professional service.**
- What problems, if any, did your company experience with ETP record keeping?  
**The only problem I encountered from time to time was when the system was down. On some occasions, I had to wait up to two days to process enrollments and payments. Other than that the system was user friendly and kept accurate records.**
- What assistance could ETP have provided that would improve the process for future Contractors?  
**The only change I would recommend would be to send a notification when the "system" has a change or when it is down.**
- How did your company benefit from the ETP training?  
**Through the efforts of this program and this contract we were able to provide free training to 820 employees. The training they received the employees were able to get promotions, increased their salary and in some cases avoid a lay-off.**

Ms. Weissman provided Ms. Ohta with projected statistics for the closeout of the Agreement. According to your records at the time of this final meeting, you expected to retain a total of 820 (100 percent of planned retentions) trainees for a total reimbursement of 1,837,460 (100 percent of the encumbered amount). Ms. Ohta reminded Ms. Weissman stated that the closeout invoice will be submitted by October 24, 2008.

Sacramento Employment and Training Agency's records show that 820 trainees have completed training (100 of planned retentions) and 820 trainees have completed the 90 day retention period (100of planned retentions). Sacramento Employment and Training Agency's projects earnings to be \$1,837,460 (100 percent of the encumbered total \$1,837,460). Current records show that Sacramento Employment and Training

Agency's has received \$1,451,492 in progress payments, of which \$ - 0,- has been approved as earned. Ms. Ohta reminded Ms. Weissman that the closeout invoice should be submitted no later than 30 days after the end term date of the Agreement

**PROJECT STATUS PROVIDED BY THE CONTRACTOR:**

<b>Trainees Started Training:</b>	826	<b>In Retention Period:</b>	179
<b>Dropped Following Enrollment:</b>	6	<b>Completed Retention:</b>	641
<b>Completed Minimum Hours for reimbursement:</b>	820	<b>Awaiting Placement:</b>	- 0 -
<b>Completed Training:</b>	820		

**ATTENDANCE ROSTERS:**

Ms. Ohta reviewed 87 trainees' rosters during this visit. Ms. Ohta found multiple rosters with incorrect information, or no information and Ms. Ohta corrected the Agreement Number for only the rosters she reviewed. It is SETA's responsibility to maintain current and accurate trainee rosters. In your next contract, SETA must ensure all rosters contain the following items:

- Correct ETP Agreement Numbers
- Course Titles (as indicated in the Agreement Curriculum)
- Instructors Printed Name and Signature
- Trainees Printed Name, Signature and Trainees Initials
- Dates of Training
- For each new roster the trainees needs to provide printed and original signatures

Ms. Ohta brought this to Ms. Weissman's attention. Ms. Weissman advised Ms. Ohta that the previous ETP analyst approved an original trainee signature only once as long as our ETP's Audit Manager Charles Rufo, regarding the trainee signature, and since most of the trainees have already completed training, ETP will allow the rosters to be completed this way for this project only.

Ms. Ohta also found the same instructor providing training for a multitude of trainees on the same day in Advanced Technology. Neither Ms. Ohta nor any of ETP's representatives can properly review the Advanced Technology ratio of 1 instructor to 10 trainees. This could cause disallowance for reimbursement if ETP funded training is not documented correctly.

**AUDIT:**

Sacramento Employment and Training Agency will be notified in writing if this agreement is selected for an audit, conducted either at your site (field audit) or by telephone (desk audit or "review"). The Audit Notification and Audit Confirmation letters will be sent in advance to allow ample preparation time and will include a list of

documents that will be examined by the auditor. To provide support of training, original training attendance documentation is required; photocopied records are not acceptable. Listed below are types of records typically requested during an ETP field audit:

- Training attendance records such as rosters, sign-in sheets, etc.
- Payroll records of individual trainees to verify wage and hours worked
- Personnel records regarding occupation and dates of employment
- Documentation of employer paid health benefits (if applicable)
- Cash receipts to verify receipt and accounting of ETP funds

**RECORD RETENTION:**

Records must be retained within your control and be available for review at your place of business within the State of California. This responsibility will terminate no sooner than four (4) years from the date of the termination of the Agreement or three (3) years from the date of the last payment by ETP to the Contractor, or the date of resolution of appeals, audits, claims, exceptions, or litigation, whichever is later.

If you have any questions or comments regarding this report, please contact your Program analyst at 916.327.5586 or [kohta@etp.ca.gov](mailto:kohta@etp.ca.gov) , within ten (10) working days from receipt of this report.

Sincerely,



Ruby Cohen, Manager  
Sacramento Regional Office



Kristie Ohta, Program Analyst  
Sacramento Regional Office

cc: William Walker – [billw@delpaso.seta.net](mailto:billw@delpaso.seta.net)  
David Guzman, Chief, Program Operations Division  
Kulbir Mayall, Manager, Fiscal and Certification  
Master File  
Project File